

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: S. Merrill SKEIST and Richard H. BAKER
For: Permanent Magnet Induction Machine

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- () the owner of the small business concern identified below:
(X) an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Spellman High Voltage Electronics Corporation
ADDRESS OF CONCERN: 475 Wireless Boulevard, Hauppauge, NY 11788

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Permanent Magnet Induction Machine by inventor(s) S. Merrill Skeist and Richard H. Baker described in

- (X) the specification filed herewith
() application Serial No. (#), filed (DATE)
() Patent No. U.S. (#), issued (DATE)

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a non profit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

None

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: S. Merrill Skeist
TITLE OF PERSON OTHER THAN OWNER: CEO
ADDRESS OF PERSON SIGNING: 475 Wireless Boulevard, Hauppauge, NY 11788

SIGNATURE S. Merrill Skeist DATE 6/11/03
6/11/03 NOV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: S. Merrill SKEIST and Richard H. BAKER

F r: Permanent Magnet Induction Machine

JOINT DECLARATION ACCOMPANYING PATENT APPLICATION

As the below named inventors, each of us hereby declares that:

My residence, post office address and citizenship are as stated below next to my name.

Each of us believes we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled above.

Each of us hereby states that we have reviewed and understand the contents of the above identified specification, including the claims and drawings.

Each of us acknowledges the duty to disclose information that is material to the examination of this patent application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

Each of us hereby declares that we do not know and do not believe that the invention was ever known or used in the United States of America before our invention thereof, or patented or described in any printed publication in any country before our invention thereof, or patented or described in any printed publication more than one year before the filing date of this application, or in public use or on sale in the United States of America more than one year before the date of this patent application, that said invention has not been patented or made the subject of any inventor's certificate issued before the filing date of this patent application in any country foreign to the United States of America on any application filed by each of us or our legal representatives or assigns more than twelve months prior to the filing date of this patent application in the United States of America, and has not been abandoned.

Each of us hereby claims the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Serial Number 60/442,633

Date Filed: January 23, 2003

Pending

POWER OF ATTORNEY

Each of us hereby appoints Arthur W. Fisher, III Registration No. 26,453 of Suite 316, 5553 West Waters Avenue, Tampa, Florida 33634, (813) 885-2006, as our attorney to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith.

Each of us hereby declares that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor: S. Merrill Skeist
Residence: 158 Sagamore Drive
Plainview, NY 11803
Citizenship: USA

S. Merrill Skeist

Date: _____

Inventor: Richard H. Baker
Residence: 26 Wildwood Drive
Bedford, MA 01730

Citizenship: USA

Richard H. Baker
Richard H. Baker

Date: November 5 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: S. Merrill SKEIST and Richard H. BAKER

F r: Permanent Magnet Induction Machine

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Each of us hereby declares that we do not know and do not believe that the invention was ever known r used in the United States of America before our invention thereof, or patented or described in any printed publication in any country before our invention thereof, or patented or described in any printed publication mor than one year before the filing date of this application, or in public use or on sale in the United States of America more than one year before the date of this patent application, that said invention has not been patented or made the subject of any inventor's certificate issued before the filing date of this patent application in any country foreign to the United States of America on any application filed by each of us or our legal representatives or assigns more than twelve months prior to the filing date of this patent application in the United States of America, and has not been abandoned.

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Residence: 158 Sagamore Drive
Plainview, NY, 11803
Citizenship: USA

S. Merrill Skeist

Date:

6/14/03
NOV

Inventor: Richard H. Baker
Residence: 26 Wildwood Drive
Bedford, MA 01730
Citizenship: USA

Richard H. Baker

Date:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: S. Merrill SKEIST and Richard H. BAKER
For: Permanent Magnet Induction Machine
Filed: Concurrently Herewith

**JOINT DECLARATIONS CLAIMING SMALL ENTITY STATUS
INDEPENDENT INVENTORS**

As the below named inventors, we hereby declare that:

Each of us qualify as an independent inventor as defined in 37 C.F.R. 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the above entitled invention.

Neither of us have assigned, granted, conveyed or licensed and are under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 C.F.R. 1.9(c) if that person had made the invention, nor any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e).

Each person, concern or organization to which either of us have assigned, granted, conveyed, or licensed or are under an obligation under contract of law to assign, grant, convey or license any rights in the invention is listed below:

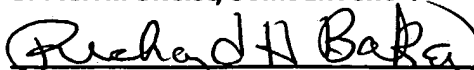
- ☐ no such person, concern, or organization concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. 1.27)
- ☐ Individual identified below
- ☒ Small Business Concern identified below
- ☐ Nonprofit Organization identified below

**NAME: Spellman High Voltage Electronics Corporation
ADDRESS: 475 Wireless Boulevard, Hauppauge, NY 11788**

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S. Merrill Skeist, Joint Inventor



Richard H. Baker, Joint Inventor

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For: Permanent Magnet Induction Machine

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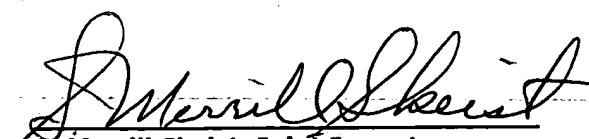
Each person, concern or organization to which either of us have assigned, granted, conveyed, or licensed or are under an obligation under contract of law to assign, grant, convey or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. 1.27)
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S. Merrill Skeist, Joint Inventor

Richard H. Baker, Joint Inventor



Department of Energy

Golden Field Office
1617 Cole Boulevard
Golden, Colorado 80401-3393

Janie Romano
Spellman H V Electronics Corp.
475 Wireless Blvd
Hauppauge, NY 11788

9/30/03

Dear Ms Romano:

SUBJECT: GRANT NUMBER DE-FG36-03GO13138, A000; "LOW WIND SPEED TECHNOLOGY FOR SMALL TURBINE DEVELOPMENT"

Enclosed are two (2) copies of the subject grant, which have already been executed on behalf of the Department of Energy. Please sign both copies of the grant in Block 20 of the Notice of Financial Assistance Award (NFAA), DOE F 4600.1. You should retain one copy for your file, and return the remaining copy to me at the above address within two weeks of receipt of this letter. Also enclosed is some information on lobbying activities, which is now required reading for all DOE contractors and financial assistance recipients.

Your Automated Clearing House (ACH) enrollment has been input into our system, and the information on the operation of this system already provided to you. Should you ever have any questions concerning this service, please direct them to Tom Reynolds of this office, at (303) 275-4747. *Also note provisions in 4 of Appendix A.*

Note the payment provisions in Appendix A, and the Reporting Requirements in Appendix C of your award, which require submission of certain standard and Department of Energy forms as part of the performance of your award. Each of the forms required by this award can be accessed through the Golden Field Office website at <http://www.go.doe.gov/businessopportunities.html>. These forms may be reproduced for your continued use. Should you require hard copies of the forms, please contact me. Instructions for preparation/completion of the forms are found on the reverse of the forms, and additional instructions are included in the Attachment to Appendix D of the award.

Questions or comments of a technical nature concerning this award should be addressed to the Project Officer, Keith Bennett, at (303) 275-4905. Matters of an administrative nature should be addressed to me at (303) 275-4782.

Sincerely,

Mary Lawler
Tammie Lawler
Contract Specialist

Enclosures:
As Stated

*Golden ... Energy for a Brighter Tomorrow
Through exceptional service, collaboration, and innovation.*

